

Form PTO-1390		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY'S DOCKET NUMBER P20825 #11
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371			U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 09/787,437
INTERNATIONAL APPLICATION NO. PCT/JP99/00388	INTERNATIONAL FILING DATE 29 January 1999	PRIORITY DATE CLAIMED 30 September 1998	
TITLE OF INVENTION APOPTOSIS INDUCING AGENT			
APPLICANT(S) FOR DO/EO/US Yoko AIDA and Masakazu KAMATA			
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information.			
<p>1. <input type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.</p> <p>2. <input checked="" type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.</p> <p>3. <input type="checkbox"/> This is an express request to promptly begin national examination procedures (35 U.S.C. 371(f)).</p> <p>4. <input type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (PCT Article 31).</p> <p>5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))</p> <p style="margin-left: 20px;">a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> has been communicated by the International Bureau.</p> <p style="margin-left: 20px;">c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</p> <p>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)).</p> <p>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))</p> <p style="margin-left: 20px;">a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> have been communicated by the International Bureau.</p> <p style="margin-left: 20px;">c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</p> <p style="margin-left: 20px;">d. <input type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3))</p> <p>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p style="margin-left: 20px;">"Executed"</p> <p>10. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (U.S.C. 371(c)(5)).</p>			
Items 11 to 16 below concern other document(s) or information included:			
11. Assignee: <u>RIKEN of Saitama, JAPAN</u>			
12. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.			
13. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.			
14. <input type="checkbox"/> A FIRST preliminary amendment.			
<input checked="" type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.			
15. <input type="checkbox"/> A substitute specification.			
16. <input type="checkbox"/> A change of power of attorney and/or address letter.			
17. <input type="checkbox"/> Figure of Drawing to be published _____			
18. <input checked="" type="checkbox"/> Other items or information:			
Cover Letter.			
Response to Paper Dated March 27, 2002 and Statement that the Content of the Paper and Computer Readable are the Same.			
Diskette containing Sequence Listing (with paper copies of the same).			
Copy of Form Notification of Defective Response (PCT/DO/EO/916).			

U.S. APPLICATION NO. (If known, see 37 CFR 1.53) 09/787,437		INTERNATIONAL APPLICATION NO. PCT/JP99/00388		ATTORNEY'S DOCKET NUMBER P20825	
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19. <input checked="" type="checkbox"/> The following fees are submitted: <div style="margin-left: 20px;"> Basic National Fee (37 CFR 1.492(a)(1)-(5)): Search report has been prepared by the EPO or JPO. \$ 860.00 International preliminary examination fee paid to USPTO (37 CFR 1.482). \$ 690.00 No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)). \$ 710.00 Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO. \$1,000.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4). \$ 100.00 ENTER APPROPRIATE BASIC FEE AMOUNT = </div>				CALCULATIONS PTO USE ONLY	
<div style="margin-left: 20px;"> Surcharge of \$130.00 for furnishing the oath or declaration later than <u> </u> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)). </div>				<div style="margin-left: 20px;">\$ 0.00</div> <div style="margin-left: 20px;">\$ 0.00</div>	

Claims	Number Filed	Number Extra	RATE		
Total Claims	21 - 21 =	0	X \$18.00	\$ 0.00	
Independent Claims	2 - 3 =	0	X \$80.00	\$ 0.00	
Multiple dependent claim(s) (if applicable)			+ \$270.00	\$ 0.00	
TOTAL OF ABOVE CALCULATIONS =				\$ 0.00	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$ 0.00	
SUBTOTAL =				\$ 0.00	
Processing fee of \$130.00 for furnishing the English translation later than <u> </u> 20 <u> </u> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				+	\$ 0.00
Extension of Time fee in the amount of \$					\$ 0.00
TOTAL NATIONAL FEE =				\$ 0.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				+	\$ 0.00
TOTAL FEES ENCLOSED =				\$ 0.00	
				Amount to be refunded	\$
				Charged	\$

a. ☐ N/A A check in the amount of \$_____ to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. _____ in the amount of \$_____ to cover the above fees.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to
 Deposit Account No. 19-0089.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and
 granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO CUSTOMER NO. 7055
 AT THE PRESENT ADDRESS OF:

Bruce H. Bernstein
 GREENBLUM & BERNSTEIN, P.L.C.
 1941 Roland Clarke Place
 Reston, VA 20191
 (703) 716-1191

SIGNATURE

Bruce H. Bernstein
 NAME
 Reg. No. 33,094
 29,027
 REGISTRATION NUMBER

P20825.P16

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Yoko AIDA et al.
Serial No : 09/787,437
(National Stage of PCT/JP99/00388)
I.A. Filed : January 29, 1999
For : APOPTOSIS INDUCING AGENT

COVER LETTER

Commissioner of Patents and Trademarks
Washington, D.C. 20231

Sir:

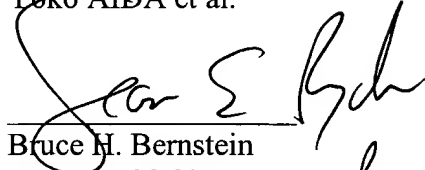
In order to Comply with the Notification of Defective Response (copy enclosed) for the submission of nucleotide and/or amino acid sequence disclosure contained of the International Application set forth in the Notification mailed March 27, 2002 which sets a one month period of response until April 29, 2002 (being that, April 27, 2002 falls on a Saturday), Applicants hereby submit:

- Transmittal Letter to the United States Designated/Elected Office Concerning a Filing Under 35 U.S.C. 371;
- a Response to Paper Dated March 27, 2002 and Statement that the Content of the Paper and Computer Readable copies are the Same, with attachments (a diskette containing sequence listing, and paper/written copy of sequence listing); and
- a Preliminary Amendment.

The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 19-0089.

Should the Examiner have any questions, he is invited to contact the undersigned at the below listed number.

Respectfully submitted,
Yoko AIDA et al.


Bruce H. Bernstein
Reg. No. 29,027

Reg No 75905

April 5, 2002
GREENBLUM & BERNSTEIN, P.L.C.
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